

PTO/SB/21 (09-04)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/884,303
Filing Date	06/19/2001
First Named Inventor	Garry D. Gladstone
Art Unit	3624
Examiner Name	Ella Colbert
Attorney Docket Number	GLADS-001A

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Certificate of Mailing and Return Postcard
<b>Remarks</b>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	STETINA BRUNDA GARRED & BRUCKER		
Signature	<i>Eric L. Tanezaki</i>		
Printed name	Eric L. Tanezaki		
Date	12/20/2005	Reg. No.	40,196

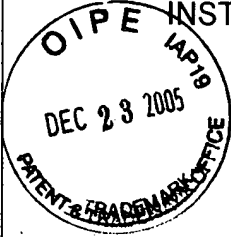
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Signature	<i>Abby Christensen</i>		
Typed or printed name	Abby Christensen	Date	12/20/2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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ATTORNEY DOCKET NO: GLADS-001A  
TITLE: METHOD AND SYSTEM FOR AUTOMATED TRADING OF FINANCIAL  
INSTRUMENTS



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1. Certificate of Mailing;
2. Transmittal Sheet;
3. Response to Office Action (9 Pages); and
4. Return Postcard

Application No.: 09/884,303  
Response to Office Action of November 7, 2005  
Attorney Docket: GLADS-001A



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:	Garry D. Gladstone	)	Confirmation No.	4813
		)		
Serial No.:	09/884,303	)	Art Unit:	3624
		)		
Filed:	June 19, 2001	)	Examiner:	Ella Colbert
		)		
For:	METHOD AND SYSTEM FOR	)		
	AUTOMATED TRADING OF	)		
	FINANCIAL INSTRUMENTS	)		

**RESPONSE TO OFFICE ACTION**

Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Madam:

In response to the Office Action of November 7, 2005, please consider the remarks as follows: